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FILE: 5226-01600

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June 19, 2001

"EXPRESS MAIL" MAILING LABEL

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I hereby certify that this paper or fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to The Commissioner of Patents and Trademarks, Washington, D.C. 20231.


Derrick Brown

ATTN: PATENT APPLICATION

Commissioner of Patents
and Trademarks
Washington, D.C. 20231

Re: U.S. Patent Application Entitled **"METHODS AND SYSTEMS
FOR IMPLEMENTING A FORWARD CONVERSION
SECURITIES STRATEGY"** – Shayne Young

Sir:

Transmitted herewith for filing are:

- (1) A disclosure including a title page, a 22 page specification, 9 pages of claims (Claims 1-71), and a one page abstract. In addition, we have also included 7 formal drawings on 8 sheets. The disclosure and drawings constitute the application of Shayne Young for the above-entitled invention.
- (2) Form PTO-1595 Assignment Recordation Cover Sheet (1 page);
- (3) Originally executed Assignment (2 pages);

- (4) Originally executed Declaration (2 pages);
- (5) A fee authorization form in the amount of \$894.00 for the filing fee and assignment recordation fee; and
- (6) A postcard to evidence receipt of these materials.

Pursuant to 37 C.F.R. § 1.10 Applicant requests the Patent and Trademark Office to accept this application and accord a serial number and filing date as of the date this application is deposited with the U.S. Postal Service for Express Mail.

If the check is inadvertently omitted, or should any additional fees under 37 C.F.R. §§ 1.16 to 1.18 be required for any reason relating to the enclosed materials, or should an overpayment be included herein, the Commissioner is authorized to deduct or credit said fees from or to Conley, Rose & Tayon Deposit Account No. 50-1505/5226-01600/ EBM.

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Respectfully submitted,



Mark R. DeLuca
Reg. No. 44,649

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Date: 6 / 19 / 01

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: Unknown
Filed: Herewith
Inventor(s):
Shayne Young

Examiner: Unknown
Group/Art Unit: Unknown
Atty. Dkt. No: 5226-01600

Title: METHODS AND
SYSTEMS FOR
IMPLEMENTING A
FORWARD
CONVERSION
SECURITIES STRATEGY

**CERTIFICATE OF EXPRESS MAIL
UNDER 37 C.F.R. §1.10**

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Commissioner for Patents
Box Patent Application
Washington, DC 20231

Derrick Brown

FEE AUTHORIZATION

Commissioner for Patents
Washington, D.C. 20231

The Commissioner is hereby authorized to charge the following fees to Conley, Rose & Tayon, P.C. Deposit Account Number 50-1505/5226-01600:

\$355.00 – Basic Filing Fees;

\$459.00 – Surcharge of Excess Claims Fees;

\$ 40.00 – Surcharge of Independent Claims Fees;

\$ 40.00 - Assignment recordation fee;

Total Amount: \$894.00

Attorney Docket No.: 5226-01600

Shayne Young

The Commissioner is also authorized to charge any extension fee or other fees which may be necessary to the same account number. If the above mentioned account is found to have insufficient funds, the Commissioner is authorized to charge Conley, Rose & Tayon, P.C. Deposit Account Number 501623/5226-01600.

Respectfully submitted,



Mark R. DeLuca
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Patent Agent for Applicant

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